

AMENDMENT AFTER FINAL REJECTION  
EXPEDITED PROCEDURE -- G.A.U. 1712

ICC-279  
PATENT APPLICATION

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:	)	
	:	Examiner: R.E. Sellers
Eadaoin Ledwidge	)	
	:	Group Art Unit: 1712
Application No.: 10/661,637	)	
	:	Confirmation No.: 8008
Filing Date: 15 September 2003	)	
	:	
For: CURABLE ENCAPSULANT	)	
COMPOSITIONS	:	October 31, 2006

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Mail Stop: AF

AMENDMENT AFTER FINAL REJECTION

Sir:

In response to the Office Action mailed September 1, 2006 (Part of Paper No./Mail Date 20060829) and marked final, kindly amend the subject application as follows:

Amendments to the specification appear on page 2 hereof.

Amendments to the claims appear at page 4 hereof.

Remarks appear at page 10 hereof.

**AMENDMENTS TO THE SPECIFICATION:**

Please amend the Specification at page 18, Example 1,  
line 3, to read as follows:

Cycloaliphatic epoxy resin (Union Carbide, UVR 6128), 55.2%,  
pre-oligomerised CER (CAT002, UCB), 33.68%, organosilane  
(Silquest 187, OSI) 2.0%, fumed silica, 2.5%, iodonium salt  
photo-initiator, 2.5%, isopropyl thioxanthone, 0.02%, "Blue 50"  
(Spectra Group Limited) 2.0%, were blended together and  
deaerated in the absence of light.

Please amend the Specification at page 18, Example 2,  
line 26, to read as follows:

Cycloaliphatic epoxy resin (Union Carbide, UVR 6128), 55.1%,  
pre-oligomerised CER (CAT002, UCB), 33.68%, organosilane  
(Silquest 187, OSI) 2.0%, fumed silica, 2.5%, iodonium salt  
photo-initiator, 2.5%, isopropyl thioxanthone, 0.02%, micronised  
carbon black, 0.1%, "Blue 50" (Spectra Group Limited) 2.0%, were  
blended together and deaerated in the absence of light.

Please amend the Specification at page 19, Example 3,  
line 13, to read as follows:

Cycloaliphatic epoxy resin (Union Carbide, UVR 6128), 55.1%,  
pre-oligomerised CER (CAT002, UCB), 33.68%, organosilane  
(Silquest 187, OSI) 2.0%, fumed silica, 2.5%, iodonium salt  
photoinitiator, 2.5%, photosensitizer (Spectra Group Limited  
Hu470) 0.25% , "Blue 50" (Spectra Group Limited) 2.0%, were  
blended together and deaerated in the absence of light.

**AMENDMENTS TO THE CLAIMS:**

Kindly replace the previous claim set with the claim set that appears below in which Claims 19 and 21-23 have been cancelled and Claim 1 has been amended to read as follows:

1. (Currently Amended) A photocurable encapsulant composition comprising:

(i) a uv curable component;

(ii) a component for initiating cure of the uv curable component present in an amount within the range of about 0.1 to about 2 percent by weight of the total composition;

(iii) an opacifying component comprising a lactone in which an aromatic ring is fused to the lactone ring, which opacifying component has a first colour which is sufficiently transparent to uv light so as to substantially unaffected cure of the uv curable component and which is activatable to change colour to a second colour which is sufficiently opaque to render the cured product of the composition substantially opaque to visible light; and

(iv) an adhesion-promoting component, wherein the composition, when applied on a part as an encapsulant composition, achieves ~~sufficient~~ a cure through volume of at least 600-800 um after exposure to uv light to allow a sufficient thickness of the encapsulant composition to

cure on the part so that the encapsulant composition is opaque and the part is not visible through the encapsulant composition.

2. (Original) A composition according to Claim 1, wherein the composition is capable of curing through a volume of at least about 1 mm.

3. (Previously Presented) A composition according to Claim 1, wherein the composition is capable of curing radiation at a wavelength of at least 290 nm.

4. (Previously Presented) A composition according to Claim 1 further comprising an inorganic filler component.

5. (Previously Presented) A composition according to Claim 1, wherein the composition is capable of curing in a time of less than about 15 seconds.

6. (Previously Presented) A composition according to Claim 1 wherein the uv curable component comprises an epoxy resin material.

7. (Previously Presented) A composition according to Claim 6, wherein the epoxy resin component is a member selected from the group consisting of cycloaliphatic epoxy resins; polyphenol glycidyl ethers; polyglycidyl ethers of pyrocatechol, resorcinol, hydroquinone, 4,4'-dihydroxydiphenyl methane, 4,4'-dihydroxy-3,3'-dimethyldiphenyl methane, 4,4'-dihydroxydiphenyl dimethyl methane, 4,4'-dihydroxydiphenyl methyl methane, 4,4'-dihydroxydiphenyl cyclohexane, 4,4'-dihydroxy-3,3'-dimethyldiphenyl propane, 4,4'-dihydroxydiphenyl sulfone, and tris(4-hydroxyphenyl)methane; polyglycidyl ethers of the chlorination and bromination products of the above-mentioned diphenols; polyglycidyl ethers of novolacs; polyglycidyl ethers of diphenols obtained by esterifying ethers of diphenols obtained by esterifying salts of an aromatic hydrocarboxylic acid with a dihaloalkane or dihalogen dialkyl ether; polyglycidyl ethers of polyphenols obtained by condensing phenols and long-chain halogen paraffins containing at least two halogen atoms; phenol novolac epoxy resins; cresol novolac epoxy resins; and combinations thereof.

8. (Previously Presented) A composition according to Claim 6 wherein the epoxy resin component is a cycloaliphatic

epoxy resin, bisphenol A epoxy resin, bisphenol F epoxy resin and combinations thereof.

9. (Previously Presented) A composition according to any one of Claim 6, wherein the epoxy resin component is used in an amount of up to about 98 percent by weight of the total composition.

10. (Previously Presented) A composition according to Claim 1 wherein the opacifying component comprises a lactone in which an aromatic ring is fused to the lactone ring.

11. (Previously Presented) A composition according to Claim 1 wherein the component for initiating cure of the curable component also participates in the colour change of the opacifying component.

12. (Previously Presented) A composition according to Claim 1 wherein the component for initiating cure of the curable component is an onium salt.

13. (Previously Presented) A composition according to Claim 1 wherein the adhesion promoting component comprises silane.

14. (Original) A composition according to Claim 13 wherein the silane is selected from the group consisting of: cycloaliphatic silanes, epoxy silanes, and amino silanes and combinations thereof.

15. (Previously Presented) A composition according to Claim 1 wherein the composition further comprises a photosensitiser component.

16. (Original) A composition according to Claim 15, wherein the photosensitiser component is selected from the group consisting of thioxanthenes, anthracene, perylene, phenothazine, 1,2 benzanthracene, coronene, pyrene, tetracene and combinations thereof.

17. (Previously Presented) A composition according to Claim 15, wherein the photosensitiser is a thioxanthone.



18. (Previously Presented) A composition according to Claim 15, wherein the photosensitiser is used in an amount within the range of about 0.01 to 1 percent by weight of the total composition.

Claim 19. (Cancelled)

20. (Previously Presented) A composition according to Claim 1, further comprising a dye or pigment.

Claims 21-24. (Cancelled)

25. (Withdrawn) A method of applying a composition according to Claim 1 as an encapsulant for encapsulating electronic components comprising the steps of:

(i) applying the composition onto a part as an encapsulant;  
and

(ii) exposing the composition to uv light so as to achieve sufficient cure through volume on exposure to the uv light to allow a sufficient thickness of the encapsulant composition to cure on the part so that the encapsulant composition is opaque and the part is not visible through the encapsulant composition.

**REMARKS**

Claims 1 to 23 and 25 were pending, with Claim 1 being independent.

Claim 19 has been cancelled. Withdrawn Claims 21-23 have now been cancelled, too.

Accordingly, Claims 1-18, 20 and 25 remain presented for prosecution.

Applicant acknowledges with thanks that the Section 112, first paragraph rejection of Claim 7 has been overcome.

Claim 1 has been amended.

All pending claims remaining in active prosecution have been rejected.

Applicant turns now to the substance of the Action.

**Section 112 Rejections:**

Claims 1-20 stand rejected under 35 U.S.C. § 112, first paragraph, as allegedly failing to comply with the written description requirement for the asserted reasons given at page 3 of the Action.

Claims 1-20 stand rejected under 35 U.S.C. § 112, second paragraph, for allegedly being indefinite for the asserted reasons given at page 4 of the Action.

The Examiner's comments at paragraph 4, page 3 and paragraph 6, page 4 of the Action have been considered and an appropriate amendment to Claim 1 has been introduced to overcome the Sections 112, first and second paragraphs, rejections. Reconsideration and withdrawal thereof are thus requested.

**Section 102(b) and 103(a) Rejections:**

Claims 1-5, 10-14 and 19 continue to stand rejected under 35 U.S.C. § 102(b) as allegedly being anticipated by U.S. Patent Application Publication No. 2003/0139487 (Montgomery) for the reasons given at pages 4-5 of the Action.

Claims 1-14, 19 and 20 stand rejected under 35 U.S.C. § 103(a) as allegedly being unpatentable over PCT Publication No. 03/46042 (Thommes), U.S. Patent No. 4,343,885 (Reardon) and in view of Montgomery for the reasons given at pages 6-8 of the Action.

Claims 15-18 stand rejected under 35 U.S.C. § 103(a) as allegedly being unpatentable over Reardon and Montgomery in view of U.S. Patent No. 6,309,797 (Grinevich) for the reasons given at pages 6-8 of the Action.

Claims 1-20 stand rejected under 35 U.S.C. § 103(a) as allegedly being unpatentable over Grinevich, U.S. Patent No. 5,942,554 (Ren) and Japanese Patent Nos. 1-16802, 4-45125 and

60-72961 in view of Montgomery and Reardon for the reasons given at page 8 of the Action (referring to pages 7-8, paragraphs 13-17 of the Office Action mailed May 22, 2006).

Applicant's cancellation of Claim 19 renders moot the Section 102 and 103 rejections thereof. Applicant traverses the rejections of the remaining claims in prosecution.

The present invention is directed to encapsulant compositions suitable for encapsulating electronic components, such as an integrated circuit module, particularly in smart card applications.

Ordinarily, with uv curable compositions having fillers, there is great difficulty in balancing desired opacity (from the filler) with the ability to cure with speed. In the electronics industry, speed of processing of electronic component is of paramount importance. So too, is the reliability with which the desired characteristics are achieved in the curable composition. Lower reliability leads to higher failure rates and inefficient processing.

There is thus an inherent trade-off between the uv curability of the composition and the nature and amount of opacifying agent employed. Compositions known to be available commercially for the purpose of solving the problem to which the present invention is directed have struggled with this balance.

Such compositions have employed a relatively high loading of opacifying material thereby compromising cure speed. In general these two requirements were so finely balanced that relatively small changes to the amount of the opacifying agent, the amount of uv exposure, and/or the time of such exposure could lead to insufficient cure through volume.

Until the present invention, there was no commercially available composition which could be used in high speed processing environments to achieve the reliability in performance as demonstrated by the compositions of the present invention.

The cited documents of record are derived from diverse technological fields, which are each unrelated to the present invention. In fact, the only common thread among the cited documents is that they involve uv curable compositions, which change color. Opacity is not mentioned, let alone the balance between uv curability and the nature and amount of opacifying agent.

Applicant discusses more specifically the cited documents of record in turn below.

### Montgomery

Montgomery relates to methods for repairing optical components, such as optical fibres, where the disclosed composition is used for splicing together of fibers to create a link between a new piece of fiber cable and an existing one. Montgomery's compositions uses color to "impart the desired color to the finished fiber".

There is no teaching whatsoever by Montgomery of any system to achieve sufficient cure through volume on exposure to uv light to allow a sufficient thickness of composition to cure as encapsulant so that the encapsulant is opaque and the part is not visible through the encapsulant.

Montgomery neither motivates nor teaches the skilled person on how to prepare a composition as defined by Claim 1 of the subject application.

### Thommes

Thommes' silane coupling agents are for surface treating inorganic fillers, and may be included in the compositions described by Thommes. However, it is clear that the silane referred to in Thommes is not an adhesion-promoting component, as the silane coupling agent is used in the inventive photocurable compositions.

Accordingly, it is clear that Thommes has been cited based entirely on hindsight as regards the individual components of the composition of the present invention. This is clear given that the disclosure does not relate to the same technical field and particularly clear in view of the reliance on an out-of-context citation of the silane component.

Thommes neither motivates nor teaches the skilled person on how to prepare a composition as defined by Claim 1 of the subject application.

#### Reardon

Reardon relates to a composition which changes color. In particular, as identified in column 1, lines 37 et seq., it is desired that Reardon's composition change color so that the person running the photoresist process can determine that the composition has been exposed to sufficient uv light. Thus, the requirement is only for a color change to occur to allow determination of sufficient exposure. There is no requirement for opacity in the composition.

Reardon neither motivates nor teaches the skilled person on how to prepare a composition as defined by Claim 1 of the subject application.

Reardon, like Thommes, discloses treating a filler with silane. For that reason, and that Reardon and Montgomery are from diverse technical fields, improper hindsight has been used in combining these documents to try to arrive at the present invention.

Even if such a combination were permissible, neither of these documents teaches a composition according to the present invention as defined in Claim 1 which has sufficient cure through volume on exposure to uv light to allow a sufficient thickness of composition to cure as encapsulant so that the encapsulant is opaque and the part is not visible through the encapsulant. There is therefore no motivation in Reardon or in its combination with any other documents cited, to arrive at the present invention.

#### Grinevich

Grinevich provides colorable polymerizable compositions, not uv curable compositions which provide a degree of opacity when cured. There is no mention of an adhesion-promoting agent or of the particular end-use contemplated by the present invention. Grinevich discloses a color change mechanism, but fails to deal at all with any of the technical problems addressed by the current invention.



Grinevich neither motivates nor teaches the skilled person on how to prepare a composition as defined by Claim 1 of the subject application.

Grinevich is cited as adding something of merit to a combined disclosure from Reardon and Thommes, which itself is misplaced. Adding Grinevich to such a combination does not lead or even point to the present invention.

Ren

Ren discloses a method for the formation of a colored polymeric body which comprises exposing a curable composition consisting essentially of an admixture of a curable compound, a color precursor and an onium salt to actinic radiation such that the exposed composition is both cured and colored. The color precursor is reportedly excited by the radiation converted to its colored form by oxidation of the color precursor by the onium salt.

Ren neither motivates nor teaches the skilled person on how to prepare a composition as defined by Claim 1 of the subject application.

Japanese Patent Document No. JP 1-16802

The English-language translation of the JP '802 document seems to report a composition containing a cationic-polymerisable organic compound, activators forming the active seed curing under irradiation with energy rays and electron-donating colouring organic compounds.

Japanese Patent Document No. JP 4-45125

The English-language translation of the JP '125 document seems to report a resin composition comprising mainly a cationically polymerisable organic compound, a leuco dye containing lactone rings and an aromatic onium salt and optionally a radical polymerisation initiator and a radically polymerisable monomer and develops a colour and/or is hardened by irradiating energy radiation and/or heating.

Japanese Patent Document No. JP 60-72961

The English-language translation of the JP '961 document seems to report on colour-forming compositions which comprise leuco compounds, silicon compounds containing silanol group and/or silanol group-forming substitutes and organic metal compounds and optionally epoxy compounds.

In making the Section 103(a) rejection based on Grinevich, Ren, the JP '802 document, the JP '125 document, the JP '961 document, Montgomery and Reardon, the Examiner relies on seven separate documents to reach the combined elements that make up Claim 1.

Such reliance on a multitude of documents is a clear resort to hindsight.

The Examiner, in responding to Applicant's Amendment dated May 22, 2006, has given no patentable weight to Applicants' Amendment and the remarks presented therein. Specifically, the Examiner contents at paragraph 6, page 4 of the Action:

The claim language achieving sufficient cure through volume to allow a sufficient thickness of the composition to cure on the part such that it is opaque and invisible is the ultimate intended utility of the composition following application on a part. The claims do not require the application of the composition on a part other than claim 25 which has been withdrawn as being a distinct invention as explained in paragraph 1 hereinabove. (Emphasis added.)

The Examiner's determination is in error.

Applicant's invention as defined by Claim 1 highlights among other things performance properties of the composition after exposure to uv light. That is, the composition, when applied on a part as an encapsulant composition, achieves cure

through volume of at least 600-800 um after exposure to uv light. The combination of elements recited in Claim 1 and the noted amounts permits the achievement of these physical properties. This thickness achieved by the encapsulant composition creates opacity and renders the part not visible therethrough.

Applicant respectfully requests reconsideration of the Section 102 and Section 103 rejections.

In view of the above, Applicant respectfully submits that the application is in condition for allowance.

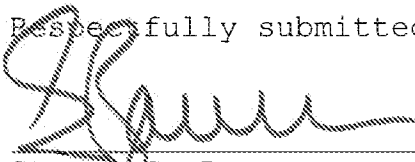
In any event, this paper in any event represents an earnest attempt at advancing prosecution on the merits, and thus respectfully submits that entry thereof is proper and at a minimum helps to focus the issues for appeal.

Applicant respectfully submits that the claims as presented herein are patentably distinct from the documents of record. Thus, favorable reconsideration and withdrawal of the rejections and passage to issue of the subject application are respectfully requested.

Application No. 10/661,637  
Amendment After Final Rejection dated October 31, 2006  
Office Action of September 1, 2006

Applicant's undersigned attorney may be reached by  
telephone at (860) 571-5001, by email at  
steve.bauman@us.henkel.com or by facsimile at (860) 571-5028.  
All correspondence should be directed to the address given  
below.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read 'S. Bauman', written over a horizontal line.

Steven C. Bauman  
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## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	1284780
<b>Application Number:</b>	10661637
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8008
<b>Title of Invention:</b>	Curable encapsulant compositions
<b>First Named Inventor/Applicant Name:</b>	Eadaoin Ledwidge
<b>Customer Number:</b>	31217
<b>Filer:</b>	Steven C. Bauman/Patricia D. Russo
<b>Filer Authorized By:</b>	Steven C. Bauman
<b>Attorney Docket Number:</b>	ICC-279
<b>Receipt Date:</b>	31-OCT-2006
<b>Filing Date:</b>	15-SEP-2003
<b>Time Stamp:</b>	16:07:22
<b>Application Type:</b>	Utility

### Payment information:

Submitted with Payment	no
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)	Multi Part /.zip	Pages (if appl.)
1	Amendment After Final	ICC-279-oa-9-1-06-AF.pdf	521734	no	21

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<b>Total Files Size (in bytes):</b>	521734
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